

PTO-1449 REPRODUCED

ATTORNEY DOCKET NO.  
0399.2006-003APPLICATION NO.  
09/761,534INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

March 19, 2002

(Use several sheets if necessary)

MAR 22 2002

APPLICANT

Qian Huang, et al.

FILING DATE

January 16, 2001

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1645

## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
DOC	AA	4,716,038	29-Dec-1987	Standford, et al.	424	92	
	AB	4,724,144	09-Feb-1988	Rook, et al.	424	88	
	AC	5,114,844	19-May-1992	Cohen, et al.	435	7.21	
	AD	4,918,166	17-Apr-1990	Kingsmen, et al.	530	350	
	AE	5,504,005	02-Apr-1996	Bloom, et al.	435	253.1	
	AF	5,580,563 A	03-Dec-1996	Tam, et al.	424	197.11	
	AG	6,338,952	15-Jan-2002	Young	435	69.7	
	AH	6,335,183	01-Jan-2002	Young	435	69.7	
	AI						
	AJ						
	AK						

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
DOC	AL	WO 98/35705	20-Aug-1998	PCT	A61K	47/48	
	AM	WO 99/07860	18-Feb-1999	PCT	C12N	15/70	
	AN	WO 97/26910	31-Jul-1997	PCT	A61K	39/00	
	AO	WO 88/00974	11-Feb-1988	PCT	C12N	15/00	
	AP	WO 85/05034	21-Nov-1985	PCT	A61K	35/74	
	AQ	WO 88/05823	11-Aug-1988	PCT	C12N	15/00	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

DOC	AR	Suzue, K. and Young, R.A., "Adjuvant-Free hsp70 Protein System Elicits Humoral and Cellular Immune Responses to HIV-1 p24," <i>J. Immunol.</i> 156:873-879 (1996)
	AS	Suzue, K., et al., "Heat Shock Fusion Proteins As Vehicles For Antigen Delivery Into The Major Histocompatibility Complex Class I Presentation Pathway," <i>Proc. Natl. Acad. Sci. USA</i> 94:13146-13151 (November 1997)
	AT	Huang, Q., et al., "In Vivo Cytotoxic T Lymphocyte Elicitation by Mycobacterial Heat Shock Protein 70 Fusion Proteins Maps to a Discrete Domain and Is CD4 <sup>+</sup> T Cell Independent," <i>J. Exp. Med.</i> 191(2):403-408 (January 17, 2000)

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BQC	AL2	WO 88/06591	7-Sep-1988	PCT	C07H	15/12
	AM2	WO 91/02542	7-Mar-1991	PCT	A61K	39/04
	AN2	WO 91/15572	17-OCT-1991	PCT	C21N	1/20
	AO2	WO 92/08484	29-May-1992	PCT	A61K	39/04
	AP2	WO 92/08488	29-May-1992	PCT	A61K	39/39
	AQ2	0 262 710	7-Sep-1987	EPO	A61K	37/02

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

BQC	AU	Arrigo, A. and Welch, W.J., "Characterization and Purification of the Small 28,000-Dalton Mammalian Heat Shock Protein," <i>J. Biol. Chem.</i> , 262(32):15359-15369 (1987).
	AV	Catelli, M.G., et al., "The common 90-kd protein component of non-transformed '8S' steroid receptors is a heat-shock protein," <i>EMBO J.</i> , 4(12):3131-3135 (1985).
	AW	Zylicz, M., et al., "The grpE Protein of <i>Escherichia coli</i> ," <i>J. Biol. Chem.</i> , 262(36):17437-17442 (1987).
	AX	Chandrasekhar, G.N., et al., "Purification and Properties of the groES Morphogenetic Protein of <i>Escherichia coli</i> ," <i>J. Biol. Chem.</i> 261(26):12414-12419 (1986).
	AY	Zylicz, M. and Georgopoulos, C., "Purification and Properties of the <i>Escherichia coli</i> dnaK Replication Protein," <i>J. Biol. Chem.</i> 259(14):8820-8825 (1984).
	AZ	Welch, W.J. and Feramisco, J.R., "Purification of the Major Mammalian Heat Shock Proteins," <i>J. Biol. Chem.</i> 257(24):14949-14959 (1982).
	AR2	Lamb, J.R., et al., "Stress Proteins May Provide a Link Between the Immune Response to Infection and Autoimmunity," <i>Int'l. Immun.</i> , 1(2): 191-196 (1989).

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
	AL4	WO 94/29459	22-Dec-1994	PCT	C12N	15/62	
	AM4	WO 95/31994	30-Nov-1995	PCT	A61K	38/00	
	AN4	WO 95/24923	21-Sep-1995	PCT	A61K	39/002	
	AO4	WO 97/06821	27-Feb-97	PCT	A61K	39/00	
	AP4	WO 98/23735	04-Jun-98	PCT	C12N	15/10	
	AQ4	WO 96/10421	11-Apr-96	PCT	A61K	39/145	
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	AV2	Blander, S.J. and Horwitz, M.A., "Major Cytoplasmic Membrane Protein of <i>Legionella pneumophila</i> , a Genus Common Antigen and Member of the hsp 60 Family of Heat Shock Proteins, Induces Protective Immunity in a Guinea Pig Model of Legionnaires' Disease," <i>J. Clin. Invest.</i> , 91:717-723 (1993).					
	AW2	Del Giudice, G.D., et al., "Priming to Heat Shock Proteins in Infants Vaccinated against Pertussis," <i>J. Immunol.</i> , 150(5):2025-2032 (1993).					
	AX2	Agranovsky, A.A., et al., "Putative 65 kDa Protein of Beet Yellow Closterovirus is a Homologue of HSP70 Heat Shock Proteins," <i>J. Mol. Biol.</i> , 217:603-610 (1991).					
	AY2	Miller, A., et al., "Immunotherapy in autoimmune diseases," <i>Curr. Opinion in Immun.</i> , 3:936-940 (1991).					
	AZ2	Nadler, S.G., et al., "Interaction of the Immunosuppressant Deoxyspergualin with a Member of the Hsp70 Family of Heat Shock Proteins," <i>Science</i> , 258:484-486 (1992).					
	AR3	Elias, D., et al., "Induction and therapy of autoimmune diabetes in the non-obese diabetic (NOD/Lt) mouse by a 65-kDa heat shock protein," <i>Proc. Natl. Acad. Sci. USA</i> , 87:1576-1580 (1990).					
	AS3	Thole, J.E.R., et al., "Characterization, Sequence Determination, and Immunogenicity of a 64-Kilodalton Protein of <i>Mycobacterium bovis</i> BCG Expressed in <i>Escherichia coli</i> K-12," <i>Infection &amp; Immunol.</i> , 55(6):1466-1475 (1987).					
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AT3	Young, R.A., et al., "Genes for the major protein antigens of the leprosy parasite <i>mycobacterium leprae</i> ," <i>Nature</i> , 316:450-452 (1985).
AU3	Husson, R.N. and Young, R.A., "Genes for the major protein antigens of <i>Mycobacterium tuberculosis</i> : The etiologic agents of tuberculosis and leprosy share an immunodominant antigen," <i>Proc. Natl. Acad. Sci. USA</i> , 84:1679-1683 (1987).
AV3	Young, D., et al., "Stress proteins are immune targets in leprosy and tuberculosis," <i>Proc. Natl. Acad. Sci. USA</i> , 85:4267-4270 (1988).
AW3	Lindquist, S. and Craig, E.A., "The Heat-Shock Proteins," <i>Annu. Rev. Genet.</i> , 22:631-677 (1988).
AX3	Welch, W.J., et al., "Biochemical Characterization of the Mammalian Stress Proteins and Identification of Two Stress Proteins as Glucose - and $Ca^{2+}$ - Ionophore-regulated Proteins," <i>J. Biol. Chem.</i> , 258(11): 7102-7111 (1983).
AY3	Ardeshir, et al., "A 75 Kd Merozoite Surface Protein of <i>Plasmodium Falciparum</i> which is Related to the 70 kd Heat-Shock Proteins," <i>EMBO J.</i> , 6(2):493-499 (1987).
AZ3	Vodkin, M.H. and Williams, J.C., "A Heat Shock Operon in <i>Coxiella burnetii</i> Produces a Major Antigen Homologous to a Protein in Both <i>Mycobacteria</i> and <i>Escherichia coli</i> ," <i>J. of Bacteriology</i> , 170(3):1227-1234 (1988).
AR4	Thole, J.E.R., et al., "Antigenic relatedness of a strongly immunogenic 65 kDa mycobacterial protein antigen with a similarly sized ubiquitous bacterial common antigen," <i>Microbial Pathogenesis</i> , 4:71-83 (1988).
AS4	van Eden, W., et al., "Cloning of the mycobacterial epitope recognized by T lymphocytes in adjuvant arthritis," <i>Nature</i> , 331(14):171-173 (1988).
AT4	Del Guidice, G., et al., "Heat shock proteins as "super"-carriers for sporozoite peptide vaccines?," <i>Research in Immunol.</i> , 162:703-707 (1991).

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BCE	AU4	Young, D.B., et al., "The 65kDa antigen of mycobacteria - a common bacterial protein?," <i>Immunol. Today</i> , 8(7-8):215-219 (1987).			
	AV4	Shinnick, T.M., et al., "The Etiologic Agents of Leprosy and Tuberculosis Share an Immunoreactive protein Antigen with the Vaccine Strain <i>Mycobacterium bovis</i> BCG," <i>Infect. And Immun.</i> , 55(8):1932-1935 (1987).			
	AW4	Kaufmann, S.H.E., et al., "Enumeration of T cells reactive with <i>Mycobacterium tuberculosis</i> organisms and specific for the recombinant mycobacterial 64-kDa protein," <i>Eur. J. Immunol.</i> 17:351-357 (1987).			
	AX4	Davis, B.D., et al., <i>Microbiology</i> , second edition, Harper & Row, Publishers, pp. 600 & 622.			
	AY4	Doherty, et al., Evasion of host immune responses by tumours and viruses, "Vaccines against virally induced cancers", Wiley, Chicester (Ciba Foundation Symposium 187), pp. 245-260. See page 245, Abstract.			
	AZ4	Hird, et al., <i>Immunotherapy with Monoclonal Antibodies</i> , Genes and Cancer, Edited by Carney, et al., pp. 183-189, see page 185, first paragraph.			
	AR5	Oettgen, H.F. and Old, L.J., "Chapter 6: The History of Cancer Immunotherapy." In <i>Biologic Therapy of Cancer</i> , De Vita, V.T., Hellman, S. and Rosenberg, S.A., eds., (London: J.B. Lippincott) pp. 98-103 (1991)			
	AS5	Hudson, C.N., et al., "Active Specific Immunotherapy for Ovarian Cancer," <i>The Lancet</i> , 2:877-879 (1976, October 23)			
	AT5	Sparks, F.C., et al., "Immunology and Adjuvant Chemoimmunotherapy of Breast Cancer," <i>Arch Surg</i> , 111:1057-1062 (1976, October)			
✓	AU5	Humphrey, L.J., et al., "Adjuvant Immunotherapy for Melanoma," <i>J. of Sur. Oncol.</i> , 25:303-305 (1984)			
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BOL	AV5	Hughes, L.E., et al., "A Study in Clinical Cancer Immunotherapy," Cancer, 26:269-278 (1970, August)			
	AW5	Cassell, W.A., et al., "A Phase II Study on the Postsurgical Management of Stage Malignant Melanoma With a Newcastle Disease Virus Oncolysate," Cancer, 52:856-860 (1983, September)			
	AX5	Cassell, W.A., et al., "Viral Oncolysate in the Management of Malignant Melanoma, I. Preparation of the Oncolysate and Measurement of Immunologic Responses" Cancer, 40:672-679 (1977, August)			
	AY5	Murray, D.R., et al., "Viral Oncolysate in the Management of Malignant Melanoma, II. Clinical Studies" Cancer, 40:680-686 (1977, August)			
	AZ5	Srivastava, P.K., and Das, M.R., "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is Also Its Tumor-Associated Transplantation Antigen," Int. J. Cancer, 33:417-422 (1984)			
	AR6	Ullrich, S.J., et al., "A Mouse Tumor-Specific Transplantation Antigen is a Heat Shock-Related Protein," Proc. Natl. Acad. Sci., USA, 83:3121-3125 (1986, May)			
	AS6	Srivastava, P.K., et al., "Tumor Rejection Antigens of Chemically Induced Sarcomas of Inbred Mice," Proc. Natl. Acad. Sci., USA, 83:3407-3411 (1986, May)			
	AT6	Palladino, M.A., et al., "Expression of a Shared Tumor-Specific Antigen by Two Chemically Induced BALB/c Sarcomas," Cancer Research, 47:5074-5079 (1987, October)			
↓	AU6	Srivastava, P.K. and Old, L.J., "Individually Distinct Transplantation Antigens of Chemically Induced Mouse Tumors," Immunology Today, 9:78-83 (1988, March)			
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AV6	Srivastava, P.K. and Maki, R. G., "Stress-Induced Proteins in Immune Response to Cancer," <i>Curr. Top. Microbiol. Immunol.</i> , 167:109-123 (1991)
AW6	Falk, R.E., et al., "Cell Mediated Immunity to Human Tumors," <i>Arch. Surg.</i> , 107:261-265 (1973, August)
AX6	McCulloch, P.B., et al., "Recurrent Malignant Melanoma: Effect of Adjuvant Immunotherapy on Survival," <i>Can. Med. Assoc. J.</i> , 117:33-36 (1977, July)
AY6	Hagbin, M., et al., "Immunotherapy with Oral BCG and Serial Immune Evaluation in Childhood Lymphoblastic Leukemia Following Three Years of Chemotherapy," <i>Cancer</i> , 46:2577-2586 (1980, December)
AZ6	Pinskey, C.M., et al., "Intravesical Administration of Bacillus Calmette-Guérin in Patients With Recurrent Superficial Carcinoma of the Urinary Bladder: Report of a Prospective, Randomized Trail," <i>Cancer Treat. Rep.</i> , 69:47-53 (1985, January)
AR7	Silverstein, A.M., "The History of Immunology," In <i>Fundamental Immunology</i> , 2 <sup>nd</sup> Edition, Paul, W.E., ed., (NY:Raven Press), pp.21, 23-24 (1989)
AS7	Murphy, J.R. and Lefford, M.J., "Host Defenses in Murine Malaria: Induction of a Protracted State of Immunity with a Formalin-Killed <i>Plasmodium berghei</i> Blood Parasite Vaccine," <i>Infec. Immun.</i> , 22:798-803 (1978)
AT7	Bertelli, M.S., et al., "BCG-Induced Resistance in <i>Trypanosoma cruzi</i> Experimental Infections," <i>Tropenmed Parasitol</i> , 32:93-96 (1981)
AU7	Jarecki-Black, J.C., et al., "The Effect of BCG-Vaccine Upon Experimental Visceral Leishmaniasis in Hampsters," <i>Ann. Clin. Lab. Sci.</i> , 14:464-466 (1984)
AV7	Sturrock, R.F., et al., "Attempts to Induce Resistance to <i>Schistosoma mansoni</i> and <i>S. haematobium</i> in Kenyan Baboons ( <i>Papio anubis</i> ) Using Non-Specific Immunostimulants," <i>Parasitology</i> , 90:101-110 (1985)

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BOL	AW7	Kimmig, P. and Wenk, P., "Suppression of Parasitaemia from <i>Litomosoides carinii</i> by Immunisation with BCG and <i>Microfilariae</i> ," <i>Z Parasitenkd</i> , 67:317-327 (1982)			
	AX7	Spencer, J.C., et al., "Nonspecific Protection of Mice against Influenza Virus Infection by Local or Systemic Immunization with Bacille Calmette-Guérin," <i>J. Infect. Dis.</i> , 126:171-175 (1977)			
	AY7	Li, Z. and Srivastava, P.K., "Tumor Rejection Antigen gp96/grp94 is an ATPase: Implications for Protein Folding and Antigen Presentation," <i>The EMBO Journal</i> , 12(8):3143-3151 (1993)			
	AZ7	Udono, H. and Srivastava, P.K., "Heat Shock Protein 70-associated Peptides Elicit Specific Cancer Immunity," <i>J. Exp. Med.</i> , 178:1391-1396 (1993, October)			
	AR8	Welch, W.J. and Feramisco, J.R., "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides," <i>Mol. &amp; Cell. Bio.</i> , 3:1229-1237 (1985)			
	AS8	Srivastava, P.K. and Udono, H., "Heat Shock Protein-Peptide Complexes in Cancer Immunotherapy," <i>Current Opinion in Immunol.</i> , 6:728-732 (1994)			
	AT8	Jindal, S., "Heat Shock Proteins: Applications in health and disease," <i>Trends in Biotech.</i> , 14(1):17-20, 1996.			
	AU8	Verdegaal, E.M.E. et al., "Heat Shock Protein 65 Induces CD62e, CD106, and CD54 on Cultured Human Endothelial Cells and Increases Their Adhesiveness for Monocytes and Granulocytes," <i>J. Immunol.</i> , 157:369-376 (1996).			
	AV8	DuBois, G.C., et al., "Isolation of a Tumor-Associated Transplantation Antigen (TATA) From an SV40-Induced Sarcoma. Resemblance to the TATA of Chemically Induced Neoplasms," <i>Int. J. Cancer</i> , 34:561-566 (1984)			
	AW8	La Thangue, N.B. and Latchman, D.S., "A Cellular Protein Related to Heat-Shock Protein 90 Accumulates during Herpes Simplex Virus Infection and Is Overexpressed in Transformed Cells," <i>Experimental Cell Research</i> , 178:169-179 (1988)			
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AX8	Rico, A.I., et al., "Characterization of the Immunostimulatory Properties of <i>Leishmania infantum</i> HSP70 by Fusion to the <i>Escherichia coli</i> Maltose-Binding Protein in Normal nu/nu BALB/c Mice," <i>Infection and Immunity</i> 66:347-352 (January 1998)
AY8	Noll, A. and Autenrieti, I.B., "Immunity against <i>Yersinia enterocolitica</i> by Vaccination with <i>Yersinia</i> HSP60 Immunostimulating Complexes or <i>Yersinia</i> HSP60 plus Interleukin-12," <i>Infect. &amp; Immun.</i> , 64:2955-2961 (1996).
AZ8	Ferrero, R.L. et al., "The GroES homolog of <i>Helicobacter pylori</i> confers protective immunity against mucosal infection in mice," <i>Proc. Natl. Acad. Sci. USA</i> , 92:6499-6503 (1995).
AR9	Butini, et al., "Comparative Analysis of....," <i>J. Cell. Biochem., Suppl. 18B</i> , Abstract J306 (1994).
AS9	Cohen, J., "Jitters Jeopardize AIDS Vaccine Trials," <i>Science</i> 262:980-981 (1993)
AT9	Haynes, B.F., "Scientific and Social Issues of Human Immunodeficiency Virus Vaccine Development," <i>Science</i> 260:1279-1286 (1993)
AU9	Voellmy, et al., "Isolation and Functional Analysis....," <i>PNAS</i> , 82:4949-4953 (1985)
AV9	Arnosti, et al., "Characterization of Heat Shock," <i>J. Bact.</i> 168(3):1243-1249 (Dec. 1986)
AW9	Gomes, et al., "Heat Shock Protein Synthesis During Development....," <i>J. Bact.</i> 168(3):923-930 (Nov. 1986)
AX9	Layton, et al., "Induction of HIV-Specific Cytotoxic....," <i>J. Immun.</i> 151(2):1097-1107 (July 1993)
AY9	More, et al., "Activation of Cytotoxic T Cells In Vitro....," <i>Immunology Letters</i> 69:275-282 (1999)
AZ9	Anthony, L.S.D., et al., "Priming of CD8+ CTL Effector Cells In Mice By Immunization With A Stress Protein-Influenza Virus Nucleoprotein Fusion Molecule," <i>Vaccine</i> 17:373-383 (1999)
AR10	Udono, H., et al., "Cellular Requirements For Tumor-Specific Immunity Elicited By Heat Shock Proteins: Tumor Rejection Antigen gp96 Primes CD8+ T Cells in vivo," <i>Proc. Natl. Acad. Sci. USA</i> 91:3077-3081 (April 1994)

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B6C	AS10	Suto, R. and Srivastava, P.K., "A Mechanism for the Specific Immunogenicity of Heat Shock Protein-Chaperoned Peptides," <i>Science</i> 269:1585-1588 (September 15, 1995)			
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FOREIGN PATENT DOCUMENTS					
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